

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Robert B. Nilsen and William P. Rowland  
Application No.: 10/731,416 Group Art Unit: 2872  
Filed: December 9, 2003 Examiner: Not yet assigned  
Confirmation No.: 3928  
Title: Optical Structures

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
May 11, 2004	<i>Sharon G. Carlisle</i>
Date	Signature
Sharon G. Carlisle	
Typed or printed name of person signing certificate	

INFORMATION DISCLOSURE STATEMENT

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:  
☐ a Statement under 37 CFR 1.97(e), as checked below, or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:  
☐ a Statement under 37 CFR 1.97(e), as checked below, and  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☒ Copies of the cited references are enclosed.
- ☒ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
- ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☒ Enclosed references AL2 and AM2 were cited in the enclosed International Search Report in a counterpart foreign application.
- ☒ The "concise explanation" requirement (non-English references) for references AM, AP, and AL2 under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☒ submission of the enclosed International Search Report.
- ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- ☒ the enclosed English language abstracts.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By

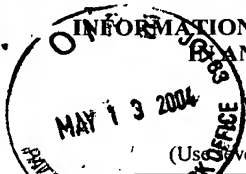
  
Erik L. Ence

Registration No.: 42,511

Telephone: (978) 341-0036

Facsimile: (978) 341-0136

Dated: May 11, 2004  
Concord, Massachusetts 01742-9133

PTO-1449 REPRODUCED		ATTORNEY DOCKET NO. 1571.2029-005		APPLICATION NO. 10/731,416	
 <p>INFORMATION DISCLOSURE CITATION ON AN APPLICATION May 11, 2004 (Use several sheets if necessary)</p>		FIRST NAMED INVENTOR Robert B. Nilsen		FILING DATE December 9, 2003	
		EXAMINER Not yet assigned		CONFIRMATION NO. 3928	
				GROUP 2872	

U.S. PATENT DOCUMENTS				
EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AA	6,533,961 B2	03-17-2003	Harelstad et al.
	AB	6,521,718 B2	02-18-2003	Goeb et al.
	AC	6,372,341 B1	04-16-2002	Jung et al.
	AD	6,350,823 B1	02-26-2002	Goeb et al.
	AE	US 2002/0018299 A1	02-14-2002	Daniell
	AF	US 2002/0016421 A1	02-07-2002	Goeb et al.
	AG	US 2002/0002929 A1	01-10-2002	Harelstad et al.
	AH	US 2001/0050356 A1	12-13-2001	Crano et al.
	AI	6,323,266 B2	11-27-2001	Phillips
	AJ	6,322,236 B1	11-27-2001	Campbell et al.
	AK	6,303,058 B1	10-16-2001	Kelley et al.
	AA2	6,291,586 B2	09-18-2001	Lasch et al.
	AB2	6,197,393 B1	03-06-2001	Jing et al.
	AC2	6,191,200 B1	02-20-2001	Phillips
	AD2	6,163,402	12-19-2000	Chou et al.
	AE2	6,143,224	11-07-2000	Bernard et al.
	AF2	6,142,643	11-07-2000	Araki, et al.
	AG2	6,143,224	11-07-2000	Bernard, et al.
	AH2	6,130,730	10-10-2000	Jannson et al.
	AI2	6,107,436	08-22-2000	Goeb et al.
	AJ2	6,050,691	04-18-2000	Fellows, et al.
	AK2	6,039,909	03-21-2000	Bernard et al.
	AA3	6,036,322	03-14-2000	Nilsen et al.
	AB3	5,995,690	11-30-1999	Kotz et al.
	AC3	5,985,444	11-16-1999	Olson et al.
	AD3	5,956,818	09-28-1999	Tsubata

EXAMINER	DATE CONSIDERED
----------	-----------------

PTO-1449 REPRODUCED		ATTORNEY DOCKET NO. 1571.2029-005		APPLICATION NO. 10/731,416	
<b>INFORMATION DISCLOSURE STATEMENT</b> <b>IN AN APPLICATION</b>  May 11, 2004 (Use several sheets if necessary)		FIRST NAMED INVENTOR Robert B. Nilsen		FILING DATE December 9, 2003	
		EXAMINER Not yet assigned		CONFIRMATION NO. 3928	
				GROUP 2872	

U.S. PATENT DOCUMENTS				
EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AE3	5,936,770	08-10-1999	Nestegard et al.
	AF3	5,905,826	05-18-1999	Benson, Jr. et al.
	AG3	5,840,405	11-24-1998	Shusta et al.
	AH3	5,840,352	11-24-1998	Shimizu et al.
	AI3	5,836,674	11-17-1998	Nishitani et al.
	AJ3	5,835,271	11-10-1998	Stump, et al.
	AK3	5,805,338	09-08-1998	Janovec
	AA4	5,805,339	09-08-1998	Martin, et al.
	AB4	5,706,132	01-06-1998	Nestegard et al.
	AC4	5,657,408	08-12-1997	Ferm et al.
	AD4	5,657,162	08-12-1997	Nilsen, et al.
	AE4	5,614,286	03-25-1997	Bacon, Jr. et al.
	AF4	5,565,151	10-15-1996	Nilsen
	AG4	5,521,725	05-28-1996	Beeson et al.
	AH4	5,300,263	04-05-1994	Hoopman et al.
	AI4	5,182,663	12-26-1993	Jones
	AJ4	5,272,562	12-21-1993	Coderre
	AK4	5,236,741	08-17-1993	Zwiener et al.
	AA5	5,126,170	06-30-1992	Zwiener et al.
	AB5	5,039,200	08-13-1991	Michler et al.
	AC5	4,618,518	10-21-1986	Pricone, et al.
	AD5	4,576,850	03-18-1986	Martens
	AE5	4,555,161	11-26-1985	Rowland
	AF5	4,425,468	01-10-1984	Makhlouf et al.
	AG5	4,254,176	03-03-1981	Müller et al.
	AH5	4,211,261	07-08-1980	Mehta et al.

EXAMINER	DATE CONSIDERED
----------	-----------------

PTO-1449 REPRODUCED  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>May 11, 2004</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO. <b>1571.2029-005</b>	APPLICATION NO. <b>10/731,416</b>	
	FIRST NAMED INVENTOR <b>Robert B. Nilsen</b>		FILING DATE <b>December 9, 2003</b>
	EXAMINER <b>Not yet assigned</b>	CONFIRMATION NO. <b>3928</b>	GROUP <b>2872</b>

U.S. PATENT DOCUMENTS				
EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AI5	4,202,600	05-13-1980	Burke et al.
	AJ5	4,100,625	07-18-1978	Tung
	AK5	4,100,625	07-18-1978	Tung
	AA6	4,025,159	05-24-1977	McGrath
	AD6	4,004,930	01-25-1977	Tung
	AC6	3,931,115	01-06-1976	Strassel
	AD6	3,684,348	08-15-1972	Rowland
	AE6	3,281,396	10-25-1966	Barnes
	AF6	3,140,340	07-07-1964	Weber
	AG6	2,937,668	05-24-1960	Carey, Jr., et al.

EXAMINER	DATE CONSIDERED
----------	-----------------

PTO-1449 REPRODUCED  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>May 11, 2004</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO. 1571.2029-005	APPLICATION NO. 10/731,416	
	FIRST NAMED INVENTOR Robert B. Nilsen		FILING DATE December 9, 2003
	EXAMINER Not yet assigned	CONFIRMATION NO. 3928	GROUP 2872

[illegible]

EXAMINER	DATE CONSIDERED
----------	-----------------

PTO-1449 REPRODUCED  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>May 11, 2004</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO. 1571.2029-005		APPLICATION NO. 10/731,416	
	FIRST NAMED INVENTOR Robert B. Nilsen		FILING DATE December 9, 2003	
	EXAMINER Not yet assigned		CONFIRMATION NO. 3928	GROUP 2872

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	AR	Cook, G., "No Assembly Required for These Tiny Machines," Boston Globe, October 16, 2001, <a href="http://web.mit.edu/lms/www/011016globe.shtml">http://web.mit.edu/lms/www/011016globe.shtml</a> .
	AS	Dagani, R., "Self-Assembly Required," Chemical & Engineering News Today: News of the Week, April 12, 2002, <a href="http://pubsacs.org/cen/today/april12d.html">http://pubsacs.org/cen/today/april12d.html</a> .
	AT	Kirkland, C., "A First in Micromold Flow Analysis," <a href="http://www.immnet.com/articles?article=2130">http://www.immnet.com/articles?article=2130</a> .

EXAMINER	DATE CONSIDERED
----------	-----------------